

AMS/FAST CHANGE REQUEST (CR) COVERSHEET

Change Request Number: 23-05

Date Received: December 6, 2022

Title: AMS Policy Clarifications to Test and Evaluation (T&E) Requirements

Initiator Name: John Frederick

Initiator Organization Name / Routing Code:

Verification & Validation Strategies and Practices, ANG-E5A

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Policy and Guidance: (Please check only one box)

- | | |
|---|--|
| <input checked="" type="checkbox"/> Policy | <input type="checkbox"/> Procurement Tools and Resources |
| <input type="checkbox"/> Guidance | <input type="checkbox"/> Real Property Templates and Samples |
| <input type="checkbox"/> Procurement Samples | <input type="checkbox"/> Procurement Clauses |
| <input type="checkbox"/> Procurement Templates | <input type="checkbox"/> Real Property Clauses |
| <input type="checkbox"/> Procurement Forms | <input type="checkbox"/> Other Tools and Resources |
| <input type="checkbox"/> Procurement Checklists | |

Summary of Change:

T&E policy clarification for test programs, the role of T&E, and the use of TEMP's for AMS investment programs

Reason for Change:

T&E Policy does not directly address the role of T&E and the use of TEMP's for AMS investment programs. Some policy sections are ambiguous regarding the need to develop a TEMP. Also, language in policy regarding the T&E role can be improved.

Development, Review, and Concurrence: Internal review by ANG-E5A T&E SMEs

Target Audience: Investment programs, NAS programs, Mission Support programs

Briefing Planned: Yes.

ASAG Responsibilities: Review and comment. ASAG Approved 11/29/22.

Section / Text Location: AMS Policy Sections 4.4, Appendix A, and Appendix B

The redline version must be a comparison with the current published FAST version.

☒ I confirm I used the latest published version to create this change / redline

or

☐ This is new content

Links:

https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicy_4.pdf

[https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendix A.pdf](https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendixA.pdf)

[https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendix B.pdf](https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendixB.pdf)

Attachments: Redline and final documents.

Other Files: N/A.

Redline(s):

[4.4 – Test and Evaluation](#)

[Appendix A – Roles and Responsibilities](#)

[Appendix B – Acquisition Planning and Control Documents](#)

Section Revised: 4.4 – Rest and Evaluation

Acquisition Management Policy - (~~10/2022~~1/2023)

4.4 Test and Evaluation Revised ~~7/2021~~1/2023

4.4.1 Service Analysis, Concept and Requirements Definition, and Investment Analysis
Revised ~~4/2021~~1/2023

4.4.2 Solution Implementation Revised 7/2020

4.4.3 In-Service Management Revised 7/2016

4.4 Test and Evaluation Revised 7/20211/2023

Test and evaluation is planned and conducted in accordance with the guidelines, standards, and practices found on the FAA Acquisition System Toolset (FAST) to:

- ☐ Provide essential information in support of decision-making for investment programs;
- ☐ Provide essential information for assessing technical and investment risks;
- ☐ Verify the attainment of technical performance specifications and objectives; and
- ☐ Verify and validate that systems, solutions, and capabilities are operationally effective and suitable for the intended use.

The types of test and evaluation standards and processes to be followed for each investment program are based on the milestones and decision points they support and the type of investment program. These test and evaluation standards and processes address: NAS ~~new~~-investment programs, NAS modifications, and Mission Support programs.

Best practices require a level of independence between the program management/development role and the test and evaluation role. Test and evaluation results and associated reporting must convey objective system performance information to assist decision authorities in determining whether the product, service, or capability is operationally suitable and effective against agency-defined requirements and FAA operations. Test service teams are uniquely experienced and trained in test and evaluation planning, conduct, and reporting. Their role is to identify shortfalls and operational performance issues that may be otherwise detected late in the lifecycle. For iterative and agile-type programs, the test services team should be included early in the planning of the development process to specify the expected test criteria and objectives for program management of each iteration.

The high-level test strategy is defined in the implementation strategy and planning document. The program management plan specifies how the test strategy will be executed. Based on complexity and criticality, ~~new investments may be~~investment programs are required to deliver a test and evaluation master plan (TEMP), as indicated on the JRC checklist. For designated investment initiatives, the TEMP provides more detail than the ISPD and the PMP on contractor and FAA test needs, scope, planning and reporting.

The test and evaluation approach, level of analysis, and test criteria are determined by reporting requirements for program milestones and decisions. The requirements that need to be verified and validated form the basis for test criteria. The risks and complexity of the system, solution, or capabilities being tested drive the scope and robustness of evaluation methods, test cases, and reporting structure.

4.4.1 Service Analysis, Concept and Requirements Definition, and Investment Analysis

Revised 1/20211/2023

During service analysis, test and evaluation activities help identify and prioritize critical FAA service needs. During concept and requirements definition, test and evaluation helps to identify the best

alternative solutions to those needs. During investment analysis, the criteria for testing operational effectiveness and suitability are expressed as critical performance requirements and critical operational issues in the program requirements document.

~~For investment programs designated to have a test and evaluation master plan (New Investment and Software Enhancement only unless otherwise required by the Acquisition Executive Board), a~~ preliminary TEMP (pTEMP) is developed during initial investment analysis based on the concepts and functions documented in the preliminary program requirements document to support the initial investment decision. An initial TEMP (iTEMP) is developed during final investment analysis once program requirements are finalized and the identity of the most promising solution is known. The iTEMP describes the test program and establishes the basis for test requirements in the request for offer to industry and test costs/and schedules in the acquisition program baseline or execution plan. The iTEMP is required to support the final investment decision. The ISPD and PMP define the plan and schedule for delivery of the final TEMP (fTEMP).

4.4.2 Solution Implementation Revised 7/2020

Solution implementation activities follow documented and structured T&E processes appropriate to the systems, solutions, and capabilities being tested. Early test and evaluation activity assesses potential operational, safety, and security risks and identifies opportunities for risk mitigation. Later test and evaluation examines performance and operational readiness (suitability and effectiveness) in support of decision-makers at the production, deployment, and in-service decisions.

Each test and evaluation program consists of developmental, operational and site testing as specified in the fTEMP and associated PMP and ISPD, as well as independent operational assessment for designated programs (see AMS Section 4.5). Developmental testing verifies requirements, functional design, and integration of the system, solution, or capability. Operational testing validates achievement of operational needs, as well as the effectiveness and suitability of the solution. For deployable products site testing verifies and validates requirements, design, and suitability of the solution in the fielded environment and configuration. As part of site testing, field familiarization testing may be required to support the site operational readiness decision.

4.4.3 In-Service Management Revised 7/2016

Developmental, operational and site testing are performed in accordance with documented, structured test processes defined by each in-service management organization in accordance with FAA Orders and Acquisition Management System Policy guidance. This applies to development and implementation of all NAS and Mission Support modifications during the in-service management lifecycle phase. In-service management test processes include standard test approaches that define the phases and detailed activities to be included during testing. These processes also support/and ensure that safety risk management and information system security requirements are addressed.

Section Revised: Appendix A – Roles and Responsibilities

Acquisition Management Policy - (~~10/2022~~1/2023)

Appendix A: Roles and Responsibilities Revised ~~7/2022~~1/2023

Appendix A: Roles and Responsibilities **Revised 7/20221/2023**

Councils and Boards

JOINT RESOURCES COUNCIL

- ☐ Approves the FAA investment portfolio each year as part of the budget submission process;
- ☐ Reviews and approves the FAA enterprise architecture each year;
- ☐ Concurs jointly with the NextGen Management Board on the establishment of new operational capabilities;
- ☐ Reviews updates to the NAS ConOps and works with the NextGen Management Board to resolve any issues or concerns;
- ☐ Makes investment decisions and oversees execution of investment programs;
- ☐ Establishes investment programs and assigns execution to a service organization;
- ☐ Baselines program requirements for investment programs in the final program requirements document;
- ☐ Approves and baselines all required AMS program documents (i.e., program requirements document, acquisition program baseline or execution plan, business case, and implementation strategy and planning document);
- ☐ Commits the FAA to full funding of approved investment programs or program segments;
- ☐ Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation for investment programs;
- ☐ Makes acquisition program baseline or execution plan change decisions that alter program performance, cost, and schedule baselines during solution implementation for investment programs;
- ☐ Reviews and approves FAA RE&D and F&E budget submissions each year prior to review and approval by the Administrator and submission to the Office of the Secretary of Transportation and reviews the OPS appropriation. The Administrator approves the OPS budget before submission to the Office of the Secretary of Transportation;
- ☐ Makes investment program production and in-service decisions or assigns approval authority to senior management; and
- ☐ Conducts acquisition quarterly program reviews to manage ongoing investment programs, including operational assets; and
- ☐ Designates investment programs for TechStat reviews.

The Joint Resources Council has the following core members:

- ☐ Acquisition Executive;
- ☐ Chief Operating Officer;
- ☐ Chief Information Officer;
- ☐ Chief Financial Officer;
- ☐ Chief Counsel;
- ☐ Associate Administrator for Aviation Safety;
- ☐ Associate Administrator for Airports;
- ☐ Assistant Administrator for NextGen;
- ☐ Assistant Administrator for Policy, International Affairs, and Environment; and
- ☐ Director, Joint Planning and Development Office.

The following members attend Joint Resource Council meetings when the decision concerns their organizational responsibilities:

- ☐ Associate Administrator for Commercial Space Transportation.

REAL PROPERTY COUNCIL

- ☐ Act as the Office of Primary Interest with respect to changes to the Space Order;
- ☐ Review and approve FAA's Real Property Strategic Plan including prioritization of opportunities, projects, and related timelines;
- ☐ Review and approve, as appropriate, the Secretariat's recommended governance path and indicate any specific governance requirements for projects;
- ☐ Establish the Secretariat Support Team (SST) to perform technical independent readiness reviews, as appropriate;
- ☐ Review and concur, as appropriate, with project team acquisition plans for real property projects;
- ☐ Review and concur, as appropriate, with completed space management- related documents required by the Acquisition Management System (AMS);
- ☐ Conduct periodic project reviews and post implementation reviews of approved real property projects to monitor performance against project baselines; and
- ☐ Review, concur, and/or recommend strategies, decisions, and approaches to the Agency Senior Property Management Official (APM-1) as requested on various issues and policy positions relating to agency real property.

The Real Property Council has the following core members:

- ☐ ATO: Vice President Management Services, AJG-0
- ☐ AAQ: Director, Acquisition and Contracting, AAQ-1
- ☐ AVS: Director, Quality, Integration and Executive Services, AQS-1
- ☐ ARP: Deputy Associate Administrator for Airports, ARP-2
- ☐ ASH: Director, Business and Mission Services, AXM-1
- ☐ ARA: Executive Director, ARA-1
- ☐ ABA: Director, Budget and Programs, ABP-1 AHR:
Labor and Employee Relations, AHL-1

Note: The Real Property Council (RPC) was created pursuant to Executive Order 13327 - Federal Real Property Asset Management and it resides outside of the AMS Life-cycle Process.

ACQUISITION EXECUTIVE BOARD

- ☐ Assists and supports the Acquisition Executive and Joint Resources Council by reviewing, authorizing, and overseeing development and implementation of acquisition management policy, process, practices, procedures, and tools at all organizational levels;
- ☐ For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;
- ☐ Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- ☐ Directs and oversees the Acquisition System Advisory Group.

NEXTGEN MANAGEMENT BOARD

- ☐ Approves updates to NAS Concepts of Operations;
- ☐ Approves NAS Segment Implementation Plan;
- ☐ Approves NAS operational capabilities including goals, objectives, and performance targets;
- ☐ Approves alignment of NAS investments to operational capabilities;
- ☐ Approves capture teams for operational capabilities;
- ☐ Conducts portfolio review for operational capabilities; and
- ☐ Approves Operational Capability Integration Plans.

OPERATIONS GOVERNANCE BOARD (OGB)

- ☐ Reviews and approves Mission Support Operations-funded capital investments;
- ☐ May recommend that Contracting Officers not enter into contracts related to applicable investments;
- ☐ May request JRC concurrence or recommend JRC review for individual investments;
- ☐ Oversees a risk review of proposed investments in coordination with AIT and other functional experts; and
- ☐ Provides status to the JRC and other agency executive level boards and organizations on the results of the Mission Support, Operations-funded capital investments brought before the Operations Governance Board.

The members of the Operations Governance Board will be:

- ☐ Director of Acquisition & Contracting (Chair) AAQ-1
- ☐ Director of Investment Planning & Analysis (IP&A) AFI-1
- ☐ Director of Enterprise Program Management Services (EPMS) AEM-1
- ☐ Director of Program Control and Integration AJM-1
- ☐ Aviation Safety AIR-2
- ☐ Assistant Chief Counsel AGC-500
- ☐ Customer Representative – As determined by the OGB Chair

FAA ENTERPRISE ARCHITECTURE BOARD

- ☐ Ensures the FAA adheres to Federal statutory and regulatory requirements regarding Enterprise Architecture;
- ☐ Aligns information technology decisions with business and investment strategies;
- ☐ Facilitates the FAA's transition to the target EA;
- ☐ Facilitates the collaboration of enterprise architecture and technical expertise of subject matter experts throughout the Agency;
- ☐ Promotes data and information reuse through enterprise information management;
- ☐ Implements the use of enterprise architecture and systems planning frameworks that facilitate an understanding of technologies and application to business issues;
- ☐ Communicates and champions Enterprise Architecture throughout the FAA;
- ☐ Approves investment program naming in accordance with FAA nomenclature standards;
- ☐ Reviews the annual FAA EA Roadmaps and recommend for approval to the JRC;
- ☐ Reviews and approves FAA EA Roadmap changes via Architecture Change Notices (ACN) that guide the FAA towards a target state architecture;
- ☐ Minimizes duplication and redundancy in investments and IT capabilities, fosters IT

- standardization, and promotes reuse of technology, data, and business assets;
- ☐ Approves and complies with standards and policies that enable reuse, interoperability, and cost efficiency;
- ☐ Approves readiness for Concept and Requirements Definition; and
- ☐ Approves processes related to FEAB and subordinate groups, as listed in the FEAB Standard Operating Procedures (SOP).

The FEAB members include the following or their designated representatives:

- ☐ Deputy Assistant Administrator for Acquisition and Business Services;
- ☐ Chief Operating Officer of the Air Traffic Organization;
- ☐ Vice President of the Program Management Organization;
- ☐ Deputy Assistant Administrator for Information & Technology;
- ☐ Deputy Assistant Administrator for Financial Services;
- ☐ Chief Counsel;
- ☐ Associate Administrator for Aviation Safety;
- ☐ Associate Administrator for Airports;
- ☐ Assistant Administrator for NextGen; and
- ☐ Assistant Administrator for Policy, International Affairs and Environment.

ARCHITECTURE REVIEW BOARD

- ☐ Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the Mission Support architecture roadmap.

TECHNICAL REVIEW BOARD

- ☐ Works with service organizations and program offices to prioritize and time-phase new operational improvements and operational sustainments within the NAS architecture roadmap.

Secretariats

JRC EXECUTIVE SECRETARIAT

- ☐ Supports the FAA Acquisition Executive;
- ☐ Develops, maintains and obtains JRC member signatures on the JRC Charter;
- ☐ Manages the investment decision-making process for all investment decisions;
- ☐ Facilitates the efforts of service organizations seeking an investment decision to ensure timely and effective investment decision-making;
- ☐ Manages the readiness process which uses criteria based on the AMS policy to evaluate the readiness of an investment initiative seeking an investment decision prior to placing it on the JRC meeting agenda to obtain a decision;
- ☐ Manages the electronic investment decision process;
- ☐ Obtains JRC member signatures on the investment decision documents after approval of a final investment decision;
- ☐ Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items;
- ☐ Develops and maintains investment decision guidance documents and processes;
- ☐ Coordinates JRC meeting dates, agenda, and arranges logistics; and
- ☐ Prepares records of decision from JRC investment decision meetings and acquisition quarterly program reviews.

OPERATIONS GOVERNANCE BOARD SECRETARIAT

- ☐ Manages the decision-making process for all Mission Support, Operations-funded assets the OGB reviews;
- ☐ Facilitates the efforts of service organizations and the Acquisition Readiness Team to ensure timely and effective decision making;
- ☐ Maintains the official repository of OGB decision documentation, records of decision, meeting minutes and assigned action items;
- ☐ Develops, maintains and obtains OGB member signatures on the OGB Charter, as well as coordinates OGB meeting dates, agenda, and arranges logistics; and
- ☐ Receives and reviews initial intake forms, and conducts preliminary risk reviews in order to provide a governance path recommendation to the OGB.

ACQUISITION EXECUTIVE BOARD SECRETARIAT

- ☐ Develops, maintains and obtains JRC member signatures on the AEB Charter;
- ☐ Coordinates AEB meeting dates, agenda, and arranges logistics;
- ☐ Receives, reviews and tracks ACAT determination requests;
- ☐ Receives and distributes to AEB members proposed changes to acquisition management policy,

process, practices and procedures;

- ☐ Facilitates the efforts of FAA organizations to ensure timely approvals to proposed policy, guidance, practice and procedure changes;
- ☐ Maintains the official repository of AEB decision documentation, records of decision, meeting minutes and assigned action items.

FEAB SECRETARIAT

- ☐ Coordinates with the JRC executive secretariat for JRC approvals;
- ☐ Notifies the JRC executive secretariat for Architecture Change Notices (ACN) and Concept and Requirements Definition Readiness Decision (CRDRD);
- ☐ Facilitates the efforts of FEAB co-chairs and FEAB members to ensure timely and effective decision-making;
- ☐ Maintains the official repository of FEAB decision documentation, meeting minutes and assigned action items;
- ☐ Obtains FEAB co-chair and Chief Architects signature on the Architecture Change Notices (ACN) after approval;
- ☐ Obtains FEAB member signatures on the FEAB Charter after approval of the JRC; and
- ☐ Coordinates FEAB meeting dates, agenda, and arranges logistics.
- ☐ Analyzes FEAB processes and recommends improvements for FEAB approval.

IN-SERVICE DECISION SECRETARIAT

- ☐ Manages the deployment planning process for the Joint Resources Council;
- ☐ Coordinates with the JRC executive secretariat to verify that readiness criteria for a final investment decision have been satisfied;
- ☐ Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- ☐ Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- ☐ Prepares records of decision; and
- ☐ Tracks in-service decision action plans until closure.

REAL PROPERTY COUNCIL SECRETARIAT

- ☐ Conducts a preliminary risk review of each opportunity using a risk assessment tool,

based on information received from APM;

- ☐ Recommends a governance path for each project, based on the risk review, prior to RPC consideration; and indicates any specific governance requirements by project;
- ☐ Schedules meetings, prepares agendas, and documents meeting minutes;
- ☐ Documents and promulgates the detailed governance process flow, documentation, and training;
- ☐ Facilitates and supports RPC meetings;
- ☐ Serves as a liaison between the customer, RPC, and the SST;
- ☐ Establishes and maintains an RPC repository of information; and
- ☐ Executes other duties, as assigned.

Offices and Executives

ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER

- ☐ Coordinate and integrate activity across line-of-business service organizations to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- ☐ Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business or staff office;
- ☐ Provide staff support to concept and requirements definition and investment analysis activity for service needs within the line of business or staff office;
- ☐ Implement non-material solutions to a service need that emerges any time during service analysis or investment analysis; and
- ☐ Oversee investment program execution by service organizations within the line of business or staff office.

CHIEF FINANCIAL OFFICER

- ☐ Jointly approves the acquisition program baseline or execution plan for investment programs with other Joint Resource Council members;
- ☐ Serves as a core member of the Joint Resources Council; and
- ☐ Approves OMB Major IT Business Cases for designated capital investments before submission

to the Department of Transportation and Office of Management and Budget.

CHIEF INFORMATION OFFICER

- ☐ Serves as a core member of the Joint Resources Council;
- ☐ Chairs the Information Technology Shared Services Committee;
- ☐ Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget;
- ☐ Jointly approves the acquisition program baseline or execution plan for investment programs with other Joint Resources Council members; and
- ☐ Oversees the enterprise architecture.

ACQUISITION EXECUTIVE

- ☐ Manages AMS policy;
- ☐ Chairs the Joint Resources Council;
- ☐ Approves acquisition category designations and AMS tailoring or waivers;
- ☐ Chairs acquisition quarterly program reviews; and
- ☐ Approves OMB Major IT Business Cases for designated capital investments before submission to the Department of Transportation and Office of Management and Budget.

OFFICE OF THE CHIEF COUNSEL

- ☐ Represents FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- ☐ Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- ☐ Represents the FAA in connection with procurement-related litigation, alternative dispute resolution, and other matters; and
- ☐ Serves as core member of the Joint Resources Council.

VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (NON-ATO)

- ☐ Responsible and accountable for the delivery of services by service organizations under their management;
- ☐ Deliver status briefings for their investment portfolio to the Joint Resources Council at acquisition quarterly program reviews;
- ☐ Approve plans for concept and requirements definition and assign necessary human resources;
- ☐ Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;

- ☐ Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- ☐ Approve plans for investment analysis and assign necessary human resources;
- ☐ Approve the program requirements document and the implementation strategy and planning document; and
- ☐ Oversee the annual update and submission of the OMB Major IT Business Case for designated investment programs.

SOURCE SELECTION OFFICIAL

- ☐ Assures source evaluation team competence, cohesiveness, and effectiveness;
- ☐ Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information";
- ☐ Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- ☐ Makes down-select decisions and assumes full authority to select the source for award.

CONTRACTING OFFICER

- ☐ Serves as the source selection official for procurements not subject to the JRC process;
- ☐ Ensures, when applicable, conflict of interest documentation is obtained from the source selection official and all source evaluation team members; with legal counsel, determines if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- ☐ Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest;
- ☐ Ensures source selection official and source evaluation team members provide nondisclosure of information statements;
- ☐ Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- ☐ Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- ☐ Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- ☐ Ensures the contract is signed by a contractor representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; and
- ☐ Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION

- ☐ FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the AMS;
- ☐ Provides dispute resolution services to the FAA and its private business partners, implementing FAA policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- ☐ Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- ☐ Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- ☐ Promulgates and operates in accordance with rules of procedure; and
- ☐ Recommends changes to the Acquisition Management System.

OFFICE OF INFORMATION & TECHNOLOGY, ENTERPRISE PROGRAM MANAGEMENT SERVICE, BUDGET, PROGRAM CONTROL, & CPIC BRANCH

- ☐ Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Major IT Business Cases;
- ☐ Independently scores OMB Major IT Business Cases and provides feedback to service organizations and the JRC executive secretariat for designated investment programs;
- ☐ Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Shared Services Committee, Department of Transportation, and Office of Management and Budget; and
- ☐ Conducts earned value management assessments for programs requiring submission of an OMB Major IT Business Case to the Office of Management and Budget and ensures earned value management transition plans for those programs are implemented effectively.

INVESTMENT PLANNING AND ANALYSIS OFFICE

- ☐ Provides leadership and expertise in the preparation of business cases for JRC decisions;
- ☐ Advises investment analysis teams during service analysis, concept and requirements definition, and investment analysis;
- ☐ Provides leadership and expertise in the exploration, development, and analysis of alternatives;
- ☐ Evaluates the business case and supporting documentation prior to investment decisions;
- ☐ and
- ☐ Develops and maintains policy, standards, guidance, and templates for investment analysis and business case preparation.

Organizations and Committees

NEXTGEN ORGANIZATION

- ☐ Manages the corporate research budgeting process;
- ☐ Coordinates annual development of the National Aviation Research Plan;
- ☐ Defines research plan selection, management, and evaluation criteria for research activities in support of NextGen;
- ☐ Interfaces with Office of the Secretary of Transportation, Office of Management and Budget, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- ☐ Provides test and evaluation services.

FAA TEST AND EVALUATION STAKEHOLDER SERVICES ORGANIZATION

- ☐ Develops and maintains T&E and V&V policy, standards, guidance, and templates;
- ☐ Works with service organizations to ensure that T&E planning, conduct and reporting for investment programs address FAA policy needs and are consistent with other investment program products;
- ☐ Provides oversight to ensure that investment-program T&E supports AMS decision points and addresses approved program requirements and the associated criteria for operational readiness;
- ☐ Works with systems engineering and other JRC stakeholders to ensure the integrity and feasibility of investment-program planning and control documents;
- ☐ Provides oversight and support to ensure an investment program Test and Evaluation Master Plan is developed and delivered in accordance with policy in support of associated AMS decision points;
- ☐ Provides T&E Subject Matter Expert oversight and guidance in support of T&E related In-Service Review processes and checklist items.

NAS SYSTEMS ENGINEERING SERVICES ORGANIZATION

- ☐ Performs corporate-level service analysis for the NAS;
- ☐ Oversees the NAS architecture;
- ☐ Develops and maintains tools for conducting service analysis;
- ☐ Work with both corporate strategic planning and service organizations to ensure consistency between service planning and the long-range strategic direction of the FAA;
- ☐ Works with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- ☐ Works with service organizations to determine realistic alternative solutions to service need and assess their impact on the NAS architecture;
- ☐ Works with service organizations to conduct service analysis and incorporate associated recommendations into the NAS architecture; and
- ☐ Works with service organizations to develop the program requirements document.

NEXTGEN LIFECYCLE INTEGRATION ORGANIZATION

- ☐ Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- ☐ Develops and maintains standard guidance for conducting service analysis and concept and requirements definition;
- ☐ Assists service organizations in establishing a service analysis capability and conducting service analysis;
- ☐ Leads planning and activities for concept and requirements definition;
- ☐ Ensures the requirements, policy, and procedures identified in the AMS and FAST are followed by stakeholders;
- ☐ Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments;
- ☐ Ensures implementation efforts are harmonized with operations and stakeholder priorities
- ☐ Ensures risks are addressed collaboratively to facilitate delivery of operational capabilities and benefits; and
- ☐ Develops, maintains, communicates, and supports the execution of enterprise-wide planning artifacts that describe the lifecycle of the National Airspace System.

INFORMATION TECHNOLOGY RESEARCH AND DEVELOPMENT ORGANIZATION

- ☐ Performs corporate-level Mission Support service analysis and coordinates service activity across service organizations to ensure alignment with FAA strategic and performance goals as well as to eliminate redundant activity, service gaps, and duplicate benefits;
- ☐ Oversees the Mission Support architecture;
- ☐ Develops and maintains tools and standards for conducting Mission Support service analysis;
- ☐ Works with corporate strategic planning and service organizations to ensure consistency between service planning and long-range strategic planning of the FAA;
- ☐ Works with service organizations to translate user needs into a sequenced and traceable Mission Support architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- ☐ Leads planning and activity for concept and requirements definition and works with Mission Support service organizations to define program requirements, determine realistic solutions to service need, and assess their impact on the Mission Support architecture;
- ☐ Ensures policy and requirements identified in AMS and FAST are followed by Mission Support stakeholders;
- ☐ Provides engineering analysis and recommendations to ensure technical integration and integrity is consistent with financial and policy goals, outcomes, and commitments; and

- ☐ Ensures implementation efforts are harmonized with operations and stakeholder priorities.

OFFICE of INFORMATION & TECHNOLOGY, SOLUTION DELIVERY SERVICE, ENTERPRISE ARCHITECTURE & PORTFOLIO INSIGHT DIVISION, EA BRANCH

- ☐ Approves Mission Support information technology and chargeback mechanism;
- ☐ Approves new Mission Support information technology projects for submission to the Joint Resources Council for funding;
- ☐ Oversees performance of information technology investments; and
- ☐ Reviews information technology shared service operational performance against baseline measures and tracks cost savings against operational baselines.

SERVICE ORGANIZATIONS

- ☐ Plan and manage resources as assigned by the Joint Resources Council to deliver services within their service area of responsibility;
- ☐ Conduct service analysis for assigned services and plan service delivery;
- ☐ Maintain consistency between service planning and FAA strategic and performance goals;
- ☐ Work with the appropriate systems engineering organization to develop the solution concept of operations and requirements, as required;
- ☐ Work with the appropriate systems engineering and operating organizations to determine realistic alternative solutions to service needs; and
- ☐ Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

Teams and Groups

CAPITAL INVESTMENT TEAM

- ☐ Assesses the business justification, budget affordability, and priority of investment initiatives and provides findings to the Joint Resources Council before investment decisions;
- ☐ Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from the Office of the Secretary of Transportation, Office of Management and Budget, and Congress; and
- ☐ Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

INDEPENDENT SAFETY ASSESSMENT TEAM

- ☐ Conducts independent operational assessment for programs as directed by the Vice President of ATO safety and Technical Training.

PRODUCT OR SERVICE TEAM

- ☐ Develops, procures, and delivers products or services for users or customers;
- ☐ Manages the acquisition program baseline or execution plan of investment programs it is implementing and reports breaches to management;
- ☐ Updates the OMB Major IT Business Case annually for designated programs;
- ☐ Assists in development of program requirements recorded in the program requirements document;
- ☐ Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- ☐ Acquires new or improved capability for services and products throughout their lifecycle;
- ☐ Keeps planning current during solution implementation in the implementation strategy and planning document;
- ☐ Supports the conduct of post-implementation reviews;
- ☐ Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by the type of program, but typically include: management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

SOURCE EVALUATION TEAM

- ☐ Drafts all screening information requests;
- ☐ Formulates the source evaluation plan;
- ☐ Reviews lessons-learned reports that provide meaningful insight into the procurement;
- ☐ Ensures an in-depth review and evaluation of each submitted screening document against
- ☐ FAA requirements and evaluation criteria;
- ☐ Prepares the source evaluation report (including recommendations, if requested) so the source selection official may make down-selection and/or award decisions, and if requested by the source selection official, prepares documentation for the decision rationale;
- ☐ Oversees all procedural and administrative aspects of the procurement;
- ☐ Selects advisors to assist the team in its evaluation, if required;

- ☐ Participates in all debriefings; and
- ☐ Prepares a lessons learned memorandum after completing the source selection.

CAPTURE TEAM

- ☐ Oversees and coordinates implementation of assigned investment increments required to obtain the assigned operational capability; and
- ☐ Identifies operational capability risks and issues and recommends corrective action to the portfolio manager.

CONCEPT STEERING GROUP

- ☐ Coordinates activity to develop and validate new concepts and ideas during service analysis; and
- ☐ Facilitates the review of new ideas and proposed changes to the NAS Concept of
- ☐ Operations.

Personnel

PORTFOLIO MANAGER

- ☐ Oversees and reports operational capability status to the NextGen Management Board;
- ☐ Evaluates operational capability demand against resource constraints;
- ☐ Identifies and assesses operational capability risks and recommends corrective actions;
- ☐ Suggests trade-offs and recommendations within the operational capability investment increments to the NextGen Management Board; and
- ☐ Participates in program reviews and budget build processes for elements of the operational capability.

EARNED VALUE MANAGEMENT FOCAL POINT

- ☐ Serves as the FAA earned value management executive agent;
- ☐ Assists program managers and business managers to apply earned value management requirements to capital investment programs and contracts;
- ☐ Coordinates earned value management activities for FAA with other government agencies and with industry and professional associations; and
- ☐ Collects monthly schedule and cost performance data, variance analysis, and corrective action plans for major programs.

PRODUCT OR SERVICE TEAM LEADER

- ☐ Serves as the source selection official for procurements subject to the JRC process unless otherwise designated by the Joint Resources Council;
 - ☐ Serves as spokesperson for the team;
 - ☐ Guides, encourages, and coaches team members;
 - ☐ Leads and facilitates team efforts without dominating the process;
 - ☐ Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
 - ☐ Ensures all stakeholders are members of the team and that they participate in team decision-making;
 - ☐ Leads development of cost, schedule, and performance baselines during final investment analysis;
 - ☐ Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
 - ☐ Manages the acquisition program baseline or execution plan and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for revised baseline values;
 - ☐ In consultation with the contracting officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
 - ☐ Assures FAA program needs are acquired through the appropriate source selection process and assures screening information requests include adequate definition of requirements;
 - ☐ Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
 - ☐ In consultation with the contracting officer, conducts the integrated baseline review, assisted by the contracting officer's representative;
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Section Revised: Appendix B – Acquisition Planning and Control Documents

Acquisition Management Policy - (~~10/2022~~1/2023)

Appendix B: Acquisition Planning and Control Documents Revised ~~7/2021~~1/2023

Acquisition Program Baseline Revised 4/2021

Program Requirements Document Revised ~~10/2012~~1/2023

Business Case Revised 10/2012

Implementation Strategy and Planning Document Revised ~~10/2015~~1/2023

Program Management Plan Added 1/2015

Test and Evaluation Master Plan Added 1/2023

Appendix B: Acquisition Planning and Control Documents Revised 7/2021/2023

AMS Policy Section 1.2.5, as well as the ACAT table, provide guidance and direction for the use of acquisition categories in the FAA acquisition process. These categories ensure the appropriate level of oversight and documentation requirements are applied to each FAA investment program.

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. This list contains only AMS planning and control documents. For a complete list of required artifacts for each ACAT and AMS phase/decision point, refer to the JRC checklist.

The documents are:

- ☐ Acquisition program baseline or execution plan
- ☐ Program requirements document
- ☐ Business case
- ☐ Implementation strategy and planning document
- ☐ Program Management Plan
- ☐ Test and evaluation master plan

These documents are structured as an integrated set with clear progression and traceability from service need to requirements to implementation strategy to actions and work activities. Template instructions are comprehensive in scope to accommodate complex investment programs. They are tailored to be appropriate for each specific investment program.

Acquisition Program Baseline Revised 4/2021

PURPOSE

The Acquisition Program Baseline (APB) documents the cost, schedule, and performance baselines for the investment program. It is the mutual agreement between the investment decision authority, the performing organization, and the user organization concerning the performance and capability the program will provide and the cost and schedule authorized for the program. There are two APB templates. The first is for New Investment ACATs. The second APB template is to be used for Tech Refresh Portfolio Project Level 1 and Sustainment Level 1 initiatives.

DESCRIPTION

The acquisition program baseline is established at the final investment decision concurrent with approval of an investment program for implementation. The cost and schedule baselines are developed during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle.

The acquisition program baseline contains critical cost, schedule, and performance parameters and their associated values designated for control by the investment decision authority. They relate to corporate FAA's commitment to satisfying the mission need, achieving needed operational capability, and meeting schedule requirements of interdependent programs. Investment decision

authority controls are identified during final investment analysis by the investment analysis team and approved by the investment decision authority. They define the empowerment boundaries of the service team during solution implementation.

APPROVAL

The chair of the investment decision authority approves the acquisition program baseline with the concurrence of other IDA members. Designated ACAT reviewers also sign the document.

NOTE: No funding may be committed or obligated that would exceed the cost baseline in the acquisition program baseline

DISTRIBUTION

Send an electronic copy of the acquisition program baseline and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all acquisition program baselines.

CONTENT

The acquisition program baseline consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the APB template.

Execution Plan

PURPOSE

The execution plan documents the cost, schedule, and performance parameters for investment programs that do not require an acquisition program baseline. The execution plan contains a description of program and the cost, schedule, and performance parameters that will be reported and tracked monthly.

DESCRIPTION

There are four execution plan templates. The execution plan templates used are based on the initiative's assigned ACAT. Variable Quantity programs use the Variable Quantity template. The Facility ACAT has two templates – one for the overall Facility program and the second used for Facility Level 1 sub – projects. The fourth execution plan is for Tech Refresh Portfolio 1.

APPROVAL

Approval is defined in the execution plan templates.

DISTRIBUTION

Send an electronic copy of the execution plan and updates to the JRC executive secretariat.

CONTENT

Content is defined in the execution plan templates.

PURPOSE

The program requirements document establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of an investment program to become operational.

APPROVAL

Within the ATO, the Vice Presidents of the organization executing the investment program during solution implementation and the operating organization approve the program requirements document. Within the other lines of business, the second-level executive of the organization executing the program in solution implementation approves the program requirements document.

DISTRIBUTION

Send an electronic copy of the program requirements document and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all program requirements documents.

CONTENT

At the readiness for investment analysis decision, the program requirements document defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements document defines exactly the operational concept and requirements the investment program must achieve as well as a test approach to assess system readiness and suitability.

The author must use the program requirements document template in FAST and must provide information for all sections. For sections that do not apply, the author so indicates.

Business Case Revised 10/2012

PURPOSE

The business case summarizes cost, schedule, and benefit information for each alternative solution to mission need for use by the investment decision authority when making initial and final investment decisions.

APPROVAL

The Vice President (ATO) or Director (non-ATO) of the implementing service organization approves the business case. Designated ACAT reviewers review and sign the business case.

DISTRIBUTION

Send an electronic copy of the business case and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all business cases.

CONTENT

The business case synthesizes the results of investment analysis. At the initial investment decision, it

describes alternatives, assumptions, and constraints, and provides full lifecycle cost estimates, benefit estimates, schedule analysis, risk analysis, and economic analysis for each alternative. At the final investment decision, it updates this information and records full lifecycle information for the alternative selected for implementation.

The author must use the business case template in FAST and must provide information for all sections.

Implementation Strategy and Planning Document Revised 10/20151/2023

PURPOSE

The implementation strategy and planning document (ISPD) provides the investment decision authority a summary characterization of the plans for solution implementation and in-service management of the proposed investment. It conveys the most critical, relevant, and meaningful information to support decision-making. More detailed and comprehensive plans are generated as part of acquisition best-practices at appropriate event-driven milestones, some of which occur before the final investment decision and some afterward. An initial ISPD is required for the initial investment decision covering specific sections identified in the ISPD template. A complete ISPD is required for a final investment decision. After the final investment decision, the ISPD is modified only if the program returns to the investment decision authority for a change to the investment decision and information needs to be modified.

APPROVAL

The ISPD is submitted for approval by the first level executive of the organization that will execute the program in solution implementation. Within ATO, the ISPD is approved by the Vice President of the organization that will execute the program and by the Chief Operating Officer/Deputy Chief Operating Officer. Outside ATO, the ISPD is approved by the second-level executive of the organization that will execute the program. Certain sections of the ISPD are reviewed and approved by specific executives, as follows:

Section 2: Director, Acquisition and Contracting; and Director, Financial Analysis;

Sections 5, 6 and 10: ATO Vice President for Technical Operations, (NAS and Mission Support programs) and Director, AIT Infrastructure & Operations, (Mission Support programs);

Sections 1, 4 and 5: Director of NextGen Engineering Services (NAS programs); Director, AIT Strategy & Performance Service (Mission Support programs)

Sections 6.7, 7.1, 9.2 and 10.2: Vice President, Safety and Technical Training-; **Director, William J. Hughes Technical Center.**

The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of Joint Resource Council members, which are obtained at the time of the JRC decision by the JRC executive secretariat. The JRC Chairperson signs

the ISPD on behalf of the JRC members concurrent with the investment decision.

DISTRIBUTION

Send an electronic copy of the ISPD to the JRC executive secretariat before an initial or final investment decision. The JRC executive secretariat maintains a database of all ISPDs.

CONTENT

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

Program Management Plan Added 1/2015

PURPOSE

The program management plan (PMP) defines how the service organization or program office will manage the implementation strategy recorded in the ISPD approved by the Joint Resources Council at the final investment decision. The intent is to ensure: (1) the full scope of program implementation is understood and planned, and (2) agreements are established with key support organizations (e.g., logistics, test, information security, safety, systems engineering) that must provide resources or otherwise contribute to successful program implementation. Do not repeat the implementation strategy recorded in the implementation strategy and planning document – explain how you will manage the execution of that strategy.

A revision to the PMP occurs in the event of a baseline change decision that affects the implementation strategy significantly or when human resource needs change substantially as the program progresses through solution implementation.

APPROVAL

The program management plan is circulated for review with the implementation strategy and planning document. It is approved by the Director of the service organization assigned responsibility for implementing the investment program after concurrence by all key stakeholders through a formal review cycle. Key stakeholders are those organizations that have a vested interest in the operational assets to be provided by the investment program, as well as those organizations that must support the implementing service organization or program office to achieve successful implementation and operational use.

DISTRIBUTION

Send an electronic copy of the approved program management plan to the JRC executive secretariat before the final investment decision. Send an electronic copy of all approved revised PMPs to the JRC executive secretariat as well. The JRC executive secretariat maintains a database of all approved PMPs and revisions.

CONTENT

Use the PMP template in FAST to prepare the document. Scope and detail should be commensurate with the complexity of the investment program. Be succinct and complete. Quality is preferred over length.

Test and Evaluation Master Plan Added 1/2023

The Test and Evaluation Master Plan (TEMP) forms the basis for achieving a well-structured and efficient test program. It is the primary test management document for the investment program throughout its lifecycle that addresses the PRD and supports the ISPD.

APPROVAL

The JRC Stakeholder for T&E approves all TEMPs. The Director of the Test Service Organization (or equivalent), the Program Manager, the T&E Division Manager, the T&E First-Line Supervisor, Program Test Director(s) approve the TEMP prior to JRC submittal.

DISTRIBUTION

Send an electronic copy of the TEMP and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all TEMPs.

CONTENT

Prior to the initial investment decision, the TEMP is updated to a preliminary state. At the final investment decision, the TEMP is updated to the initial state and defines the test strategy, methodology, and approach for DT and OT. A final TEMP is delivered after final investment decision and prior to the start of testing. The final TEMP is a living document that may be revised as needed during solution implementation.
